

**Electronic Filing System (EFS) Data**  
**Electronic Patent Application Submission**  
**USPTO Use Only**

EFS ID: 13239  
Application ID: 09683298  
Title of Invention: Apparatus and Method for  
Aligning Microarray Printing Head  
First Named Inventor: John Richards  
Domestic/Foreign Application: Domestic Application  
Filing Date: null  
Effective Receipt Date: 2001-12-11  
Submission Type: Utility Patent Filing  
Filing Type: new-utility  
Confirmation Number: 0  
Attorney Docket Number: 3421.1  
Digital Certificate Holder: cn=Alan B. Sherr, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US  
Certificate Message Digest: NWxgblqnnwneDvXu57g27A==  
Total Fees Authorized: \$1434.0  
  
Payment Category: DA - Deposit Account  
Deposit Account Number: 10431  
Deposit Account Name: Alan B. Sherr



# TRANSMITTAL FORM

Electronic Version 1.0.3

Stylesheet Version: 1.0

Submission Type: Utility Patent  
Filing

Attorney Docket  
Number:

3421.1



## Apparatus and Method for Aligning Microarray Printing Head

First Named Inventor: Mr. John A. Richards

### SUBMITTED BY

Name: Mr. Alan B. Sherr  
Registration Number: 42,147  
Electronic Signature Mark: /Alan B. Sherr/  
Date Signed: 20011211

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*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

### Attached Files:

|                  |              |
|------------------|--------------|
| declaration      | declp1.tif   |
| declaration      | declp2.tif   |
| bibd-transmittal | 3421apds.xml |
| fee-transmittal  | 3421fee.xml  |

patent-assignments  
specification

3421asgn.xml  
3421.1\_spec.xml

Attached Image File(s):

declp1.tif  
declp2.tif

Patent 3421.1

Comments:

09683298 1011 8686950

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PTO/SB/01 (12-97)

Approved for use through 9/30/00. OMB 0651-0032  
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|   |                               |  |
|---|-------------------------------|--|
| <b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION</b><br>(37 CFR 1.63)  | <b>Attorney Docket Number</b> | 3421.1   |
|   | <b>First Named Inventor</b>   | John A. Richards   |
|   | <b>COMPLETE IF KNOWN</b>      |  |
|   | <b>Application Number</b>     | /  |
|   | <b>Filing Date</b>            | December 11, 2001  |
|   | <b>Group Art Unit</b>         | Unknown  |
| <input checked="" type="checkbox"/> Declaration Submitted With Initial Filing | <b>OR</b>                     | <input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required) |
| <b>Examiner Name</b>  |                               | Unknown  |

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Apparatus and Method for Aligning Microarray Printing Head

the specification of which (Title of the Invention)

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY) as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) Country | Priority Not Claimed     | Certified Copy Attached? |                          |
|-------------------------------------|---------|--|--------------------------|--------------------------|--------------------------|
|                                     |         |  |                          | YES                      | NO                       |
|                                     |         |  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

| Application Number(s)    | Filing Date (MM/DD/YYYY) | <input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto. |
|--------------------------|--------------------------|--|
| Attorney Docket No. 3421 | September 7, 2001        |  |

[Page 1 of 2]

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## DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365© of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application

| U.S. Parent Application or PCT Parent Number | Parent Filing Date (MM/DD/YYYY) | Parent Patent Number (if applicable) |
|--|---------------------------------|--------------------------------------|
|  |                                 |                                      |

Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith

☒ Customer Number 22886
→
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OR

☒ Registered practitioner(s) name/registration number listed below

| Name     | Registration Number | Name                                  | Registration Number |
|----------|---------------------|---------------------------------------|---------------------|
| Wei Zhou | 44,419              | Philip L. McGarrigle<br>Alan B. Sherr | 31,395<br>42,147    |

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☒ Customer Number or Bar Code Label 22886 OR ☒ Correspondence address below

|         |                                       |           |              |
|---------|---------------------------------------|-----------|--------------|
| Name    | Affymetrix, Inc.                      |           |              |
| Address | General IP Counsel - Legal Department |           |              |
| Address | 3380 Central Expressway               |           |              |
| City    | Santa Clara                           | State     | CA           |
|         |                                       | ZIP       | 95051        |
| Country | USA                                   | Telephone | 408/731-5000 |
|         |                                       | Fax       | 408/731-5392 |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

|  |                        |   |                 |
|--|------------------------|---|-----------------|
| Name of Sole or First Inventor:        |                        | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                 |
| Given Name (first and middle [if any]) |                        | Family Name or Surname  |                 |
| John A.                                |                        | Richards  |                 |
| Inventor's Signature                   | <i>John A Richards</i> | Date  | <i>12/11/01</i> |
| Residence: City                        | Middleton              | State   | MA              |
|  |                        | Country   | USA             |
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| Post Office Address                    |                        |   |                 |
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|  |                        | ZIP   | 01949           |
|  |                        | Country   | USA             |

☐ Additional inventors are being named on the supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

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# FEE TRANSMITTAL

Electronic Version 1.1.0

Stylesheet Version: 1.0

*Patent fees are subject to annual revisions on or about October 1st of each year.*

Large Entity

**TOTAL FEES AUTHORIZED: \$ 1434**

The commissioner is hereby authorized to charge indicated processing and/or publication fees and credit any overpayments to:

Deposit Account Number: 01-0431



Deposit Account Name: Affymetrix, Inc.

Charge Any Additional Fee Required Under 37 C.F.R. Sections 1.16 and 1.17.

Charge Assignment Fees Required Under 37 C.F.R. Section 1.21 (h).

## SUBMITTED BY

Authorized Name: Alan B. Sherr

Electronic Signature Mark: /Alan B. Sherr/

Date Signed: 20011211

## BASIC FILING FEE

| Fee Description    | Fee Code | Fee Paid |
|--------------------|----------|----------|
| Utility Filing Fee | 101      | \$ 740   |

Subtotal For Basic Filing Fee: \$ 740

## EXTRA CLAIM FEES

|                       | Fee Code | Fee   | Extra Claims | Fee Paid |
|-----------------------|----------|-------|--------------|----------|
| Total Claims: 33      | 103      | \$ 18 | 13           | \$ 234   |
| Independent Claims: 8 | 102      | \$ 84 | 5            | \$ 420   |

Subtotal For Extra Claims Fees: \$ 654

ADDITIONAL FEES

| Fee Description                                   | Number   | Quantity | Fee Code | Amount | Fee Paid |
|---|----------|----------|----------|--------|----------|
| Recording Each Patent Assignment Per Property Fee | 00000000 | 1        | 581      | \$ 40  | \$ 40    |

Subtotal For Additional Fees: \$ 40

09683298-1101  
TOTAL \$694